

B/2143

PTO/SB/21 (09-04)

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

7

Application Number

10/028,235

Filing Date

12/21/2001

First Named Inventor

Bashen, G. Steven

Art Unit

2143

Examiner Name

Dennison, J. Bret

Attorney Docket Number

BASH001

ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
 - ☐ Fee Attached
- ☐ Amendment/Reply
 - ☐ After Final
 - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Reply to Missing Parts/Incomplete Application
 - ☐ Reply to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☒ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
- ☐ Landscape Table on CD

- ☐ After Allowance Communication to TC
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
Postcard (self-stamped); Statement Under 37 CFR 3.73(b) (1 page); Copy of Assignment (3pgs)

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Mark A. Oathout

Signature

Printed name

Mark A. Oathout

Date

08/18/05

Reg. No.

33,747

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

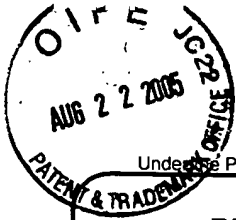
Elisa Gonzalez

Date

08/18/05

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**REVOCATION OF POWER OF
ATTORNEY WITH
NEW POWER OF ATTORNEY
AND
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	10/028,235
Filing Date	12/21/2001
First Named Inventor	Bashen, G. Steven
Art Unit	2143
Examiner Name	Dennison, J. Bret
Attorney Docket Number	BASH001

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number: 021322

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with
Customer Number:

021322

OR

☐ Firm or
Individual Name Mark A. Oathout

Address

City

State

Zip

Country

Telephone

Email

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature

Name

Garret Bashen

Date

8/12/05

Telephone

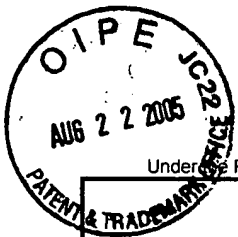
713-780-8056

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: S.J. Bashen, Inc. d/b/a Bashen ConsultingApplication No./Patent No.: 10/028,235 Filed/Issue Date: 12/21/2001Entitled: Method, Apparatus and System for Processing Compliance Actions over a Wide Area NetworkS.J. Bashen, Inc. d/b/a Bashen Consulting, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Bashen, G. Steven et al. To: S.J. Bashen, Inc.The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Janet Bashen

Printed or Typed Name

CEO

Title

8/12/05

Date

713-780-8056

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ASSIGNMENT

For good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, I/we, the below signed inventor(s) of record, hereby assigns to:

**S. J. BASHEN CORPORATION
1616 SOUTH VOSS ROAD, 10TH FLOOR
HOUSTON, TX 77057-2630**

and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title interest and right to sue throughout the world in the inventions and improvements which are the subject of an application for United States Patent signed by me this day, entitled:

"METHOD, APPARATUS AND SYSTEM FOR PROCESSING COMPLIANCE ACTIONS OVER A WIDE AREA NETWORK"

this assignment including said application, any and all United States and foreign patents, utility models, design registrations, inventor's certificates and other similar rights granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and I authorize the Assignee to apply in all countries in my name, or in its own name, for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and I agree for myself and my heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

IN WITNESS THEREOF, I hereby set my hand, date of signature and place of signature as indicated below.

Full Name of First or Sole Inventor: **G. STEVEN BASHEN**
Residence: **13311 TROPICANA DRIVE, HARRIS COUNTY
HOUSTON, TX 77041-6580**
Citizenship: **USA**
Post Office Address: **13311 TROPICANA DRIVE, HARRIS COUNTY
HOUSTON, TX 77041-6580**

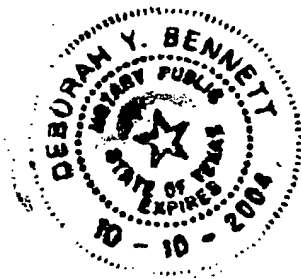
G. Steven Bashen
Signature of First or Sole Inventor

12/21/01
Date of Signature

In the State of Texas §
§
In the County of Harris §

Before me, the undersigned authority, on this 21 day of DEC., personally appeared G. Steven Bashen, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

Deborah Y. Bennett
Notary or Consular Officer



IN WITNESS THEREOF, I hereby set my hand, date of signature and place of signature as indicated below.

Full Name of Second Inventor: **JANET EMERSON BASHEN**
Residence: **13311 TROPICANA DRIVE, HARRIS COUNTY
HOUSTON, TX 77041-6580**
Citizenship: **USA**
Post Office Address: **13311 TROPICANA DRIVE, HARRIS COUNTY
HOUSTON, TX 77041-6580**

Signature of Second Inventor

12/21/01
Date of Signature

In the State of Texas §
In the County of Harris §

Before me, the undersigned authority, on this 21 day of Dec., personally appeared Janet Emerson Bashen, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that she executed the same of her own free will for the purposes and consideration therein expressed.

Deborah Y. Bennett
Notary or Consular Officer



IN WITNESS THEREOF, I hereby set my hand, date of signature and place of signature as indicated below.

Full Name of Third Inventor: **MARJANA LINDSEY ROACH**
Residence: **1719 ELMEN STREET, HARRIS COUNTY
HOUSTON, TX 77019-5701**
Citizenship: **USA**
Post Office Address: **1719 ELMEN STREET, HARRIS COUNTY
HOUSTON, TX 77019-5701**

Signature of Third Inventor

12/21/01
Date of Signature

In the State of Texas §
In the County of Harris §

Before me, the undersigned authority, on this 21 day of Dec., personally appeared Marjana Lindsey Roach, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that she executed the same of her own free will for the purposes and consideration therein expressed.

Deborah Y. Bennett
Notary or Consular Officer



IN WITNESS THEREOF, I hereby set my hand, date of signature and place of signature as indicated below.

Full Name of Fourth Inventor: **DONNIE MOORE**
Residence: **2425 CASTLEMAINE COURT, GWINNETT COUNTY
DELUTH, GA 30097-7360**
Citizenship: **U.S.A.**
Post Office Address: **2425 CASTLEMAINE COURT, GWINNETT COUNTY
DELUTH, GA 30097-7360**

Donnie Moore, Sr.
Signature of Fourth Inventor

12/21/01
Date of Signature

In the State of Georgia §
In the County of DeKalb §

Before me, the undersigned authority, on this 21st day of Dec 2001, personally appeared **Donnie Moore**, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

Evelyn S. Barnh
Notary or Consular Officer

Notary Public, DeKalb County, Georgia
My Commission Expires Jan. 27, 2002